

THE GEORGE WASHINGTON UNIVERSITY
Washington, D. C.

MINUTES OF A REGULAR MEETING
OF THE FACULTY SENATE HELD ON
DECEMBER 15, 1989*, IN LISNER HALL
Room 603

The meeting was called to order at 2:18 p.m. by President Trachtenberg.

Present: President Trachtenberg, Vice President French, Registrar Gaglione, Burdetsky, Deering, Divita, East, Fisher, Fox, Garris, Graff, Griffith, Keimowitz, Kenny, Kirsch, Moore, Park, Prats, Robbins, Robinson, Rycroft, Seavey, Tolchin, Trangsrud, Vontress, Walker, and Yezer

Absent: Parliamentarian Schechter, Berkovich, Elgart, Friedenthal, Holmes, Leonard, Liebowitz, Painter, Parrish, Schiff, and Solomon

APPROVAL OF THE MINUTES

The President called for approval of the minutes. A corrected copy of Page 4 of the minutes was distributed by Ms. Trone, Faculty Senate Coordinator. The corrections were: (1) the addition of the first three lines of text on Page 4, which were missing on the copies mailed, as follows: "replied that under the Faculty Organization Plan there was no structure by which the Senate could establish a joint committee. He explained that the Joint Committee of Faculty and Students was..."; and (2) the deletion of the last four lines of text on Page 4 which duplicated the text at the beginning of Page 5. The minutes were approved, as corrected.

RESOLUTIONS

I. RESOLUTION 89/6, "A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICT OF INTEREST"

On behalf of the Committee on Professional Ethics and Academic Freedom, Professor Deering moved the adoption of Resolution 89/6, and the motion was seconded. Professor Deering said that the intent of the PEAFC Committee was to define in fairly broad terms what the nature of conflicts were in the University and to categorize those areas where conflicts of interest most frequently occurred.

*The December 8, 1989, regular meeting of the Faculty Senate was cancelled because of inclement weather and rescheduled for December 15, 1989.

Professor Kirsch, referring to the examples of various types of conflicts of interest listed on Page 4 of the Policy on Conflict-of-Interest, moved to strike 1.a) "exceeding the equivalent of the 'one day a week' rule allowed by the Faculty Handbook" as one of the examples. He said to single out the "one day a week" rule as a possible type of conflict of interest may lead to a much more rigid interpretation than was required. Professor Deering responded that the "one day a week" rule was a long-standing guideline as to the appropriate allocation of University time and outside time, and that it was simply listed as an example of one potential type of conflict of interest, and did not imply that it was per se a violation of conflict of interest. Professor Griffith spoke against the amendment because he thought the "one day a week" rule was largely a matter handled by departments and deans as to whether or not work devoted to outside responsibilities was excessive. He said that to delete the "one day a week" rule as an example of conflict of interest would be a mistake because it did provide an important guideline. Professor Kirsch then withdrew his amendment.

A discussion followed by Professors Fox, Deering, Graff, Fisher, Seavey, and Trangsrud. Professor Yezer moved that the word "possible" be inserted before the words "conflict of interest" in Paragraphs 1, 2, 3, and 4 appearing on pages 1 and 2 of the Policy. The motion was seconded. Professor Deering spoke against the amendment because he thought the addition of the word "possible" would be redundant. He said the Committee's intent in using the word "may" in each of those four paragraphs was to reemphasize that there were examples that might raise the possibility of a conflict of interest. Further discussion followed by Professors Vontress, Deering, Yezer and Fox. In order to make all four paragraphs symmetrical, Professor Griffith offered a substitute amendment to Paragraph 3 to read "Conflicts of interest that may arise and may impair objectivity," and the motion was seconded. Professor Yezer withdrew his amendment and the seconder agreed. The question was called on the Griffith amendment and the motion passed.

Vice President French suggested adding language to the Third RESOLVING clause of the resolution to require the various academic units not only to establish written procedures for implementation of this policy, but that these procedures be approved by him, as custodian of the policy, to ensure they carry out the intention of the Senate. Professor Griffith also pointed out that he would be very reluctant to approve a policy of this kind without some indication that the review should at least involve considerations by one's peers with some mechanism for appeal.

Professor Griffith then moved that further discussion and final action on Resolution 89/6 be postponed to the January meeting of the Senate, and the motion was seconded. The question was called and the motion was approved.

II. RESOLUTION 89/7, "A RESOLUTION CALLING FOR AN INCENTIVE-BASED HIERARCHY OF PRIORITIES IN THE ALLOCATION OF RESOURCES"

Professor Garris, Chair of the Research Committee, read "Introductory Remarks of C. A. Garris to the Faculty Senate in Relation to Resolutions 89/7, 89/8, and 89/9." (Remarks are attached and made a part of these minutes.)

On behalf of the Committee on Research, Professor Garris, Chair, moved the adoption of Resolution 89/7, and the motion was seconded.

Professor Prats pointed out that the Second and Third RESOLVING clauses of the resolution essentially stated what the Lange-Coates Report said, and therefore he could not support this resolution. Professor Garris replied that the Lange-Coates Report treated only a small segment of research for a selected few. Professor Robinson asked what procedures would be used to establish a hierarchy of priorities as recommended in the Second RESOLVING clause. Professor Garris said that there were no incentives to do any research and what was missing in the Lange-Coates Report was a system of priorities to motivate faculty to participate in research. Professor Yezer said he viewed the Lange-Coates Report as a "first-step" plan since GW was not a research institute, and he did not understand the Report to say that forever in the future 80% of all University money designated to encourage research would be in the form of targeted funding in a "top-down" planning strategy. Professor Garris responded that there was an inconsistency between the Lange-Coates Report and what was being done in that it says that it is a strategic plan. If that were so, Professor Garris said, then it should have established priorities which it did not do. Professor Tolchin expressed her support of all three of the resolutions pertaining to research because they provided a mechanism for consultation. What was missing from the Lange-Coates Report was any mention of research at SGBA and she submitted for the information of the Senate a cumulative research abstract showing a sampling of research that has been done at SGBA. Professor Tolchin also stressed that unsponsored research was very important and should be included. The problem, she said, was that the faculty had no part in the planning process. Professor Deering said that on one level he would support the resolution because of the vague relationship between the Second and Third RESOLVING clauses. However, it seemed to him that Professor Garris' introductory remarks suggested that supporting this resolution was a means of criticizing the Lange-Coates Report, and on that level he would oppose the resolution unless the Research Committee could suggest an alternative set of priorities which were not found in the resolution. Professor Garris replied that the resolution intended to convey two strong messages, i.e., one, if research is to flourish in this University, increased allocation of funds have to be made, and, second, there has to be a "bottom-up" incentive-

based management style that reaches out and makes everyone motivated to participate in research. Professor Fox said he looked at this resolution as a means of saying that in the future we should set priorities but not let them come as a surprise. He then moved to amend the Second RESOLVING clause to read as follows:

- "2. That the administration, in collaboration with the faculty, should develop a hierarchy of priorities for the allocation of University resources towards strengthening research."

The motion was seconded. A discussion followed by Professors Prats, Griffith, and Fox. The question was called and the Fox amendment was passed.

Professor Seavey said that he had the same problem with the resolution expressed by other members in that one could vote for it both as an endorsement of the Lange-Coates Report or as an objection to that Report. Professor Garriss said the Research Committee's intention in writing this resolution was not to endorse or to criticize the Lange-Coates Report, but rather to go back to square one to try to develop a set of priorities based on incentives and on what is well-known about the research environment at the University. Professor Griffith said that it seemed to him the tensions that exist in the resolution were real and reflected the tensions in the response of the faculty to the Lange-Coates Report. Based on his reading of the Report, Professor Griffith said it appeared that the selection of specific research projects for targeted funding was apparently based on those projects most likely to obtain greater national and international reputations which would advance the University as a research institution. What the resolution was calling for, he said, was to rethink whether that was the number one priority in terms of providing additional support to research. The question which needed to be addressed was whether or not we were primarily interested in advancing research as a vehicle for the University's reputation, or whether we were primarily interested in advancing research as a means of having an invigorated and lively faculty participating in a wide variety of research projects. Professor Griffith said that he supported the resolution as amended.

Further discussion followed by Professors Fox, Garriss, Divita, Graff, Englander, and Walker. Professor Park indicated his support of the resolution but because the legislative history would be unclear, he said the administrative effect of Resolution 89/7 must be the plain language of the resolution as adopted.

Professor Griffith moved to close debate on Resolution 89/7, and the motion was seconded. The question was called, and the motion to close debate was passed. The question was then called on the original motion, and Resolution 89/7, as amended, was adopted. (Resolution 89/7 is attached.)

III. RESOLUTION 89/8, "A RESOLUTION IN SUPPORT OF THE NEED FOR TEACHING LOAD REDUCTIONS TO ENSURE THE GROWTH OF SPONSORED RESEARCH AT THE GEORGE WASHINGTON UNIVERSITY"

On behalf of the Committee on Research, Professor Garris, Chair, moved the adoption of Resolution 89/8, and the motion was seconded.

Professor Kirsch said that the aim of the resolution was fine but he found it very overly-restrictive because it was limited to "sponsored" research. He said there were many people doing first-class "unsponsored" research. He then moved the following amendments:

- (1) To strike the word "Sponsored" in the title of Resolution 89/8;
- (2) To change the last sentence of the Second WHEREAS clause to read: "University to increase its participation in sponsored, as well as unsponsored, research";
- (3) To strike the Third WHEREAS clause in its entirety (as being unnecessary)
- (4) To change the first sentence of the Fifth WHEREAS Clause to read: "Faculty participation in sponsored and unsponsored research requires large investments of time and effort"; (striking the remaining language).
- (5) To change the First RESOLVING Clause to read: "That the number one priority in advancing the goal of increasing both sponsored and unsponsored research while maintaining excellence in teaching is the reduction of teaching loads for those faculty actively pursuing research; ..."

Professor Griffith raised a point of order. He said that the amendment proposed by Professor Kirsch, in effect, would change the character of the resolution and, therefore, would not be in order as an amendment under parliamentary procedure. Professor Kirsch then offered to move his amendment as a substitute resolution. Professor Griffith indicated that he would vote against a substitute resolution unless it would first be recommitted to the Research Committee to work out the language and brought back to the Senate. Professor Fisher pointed out that the final WHEREAS clause applied to both sponsored and unsponsored research which indicated to her that the Research Committee was in agreement with Professor Kirsch's amendment. Professor Garris said that the intent of the resolution was valid for unsponsored research as well; however, the Committee thought the case was stronger for sponsored research at the present time.

Professor Fox spoke against the substitute resolution because he thought the best case could be made in the reduction of teaching loads on the basis of sponsored research, and he thought the resolution should be addressed as it came from the Research

Committee. Professor Deering spoke in support of the substitute resolution because the resolution before the Senate would restrict this particular benefit to a narrow ring of faculty rather than a broad ring of research-active faculty.

Further discussion followed by Professors Yezer, Griffith, Garris, Tolchin, Prats, Kirsch, and Park. President Trachtenberg said it seems to him that what he was hearing today was that the faculty were pleased that the administration had finally come around to recognizing that research was a part of the institutional agenda. But now the faculty was saying "don't stop!" While he was very sympathetic to what the Senate was saying, the President said the problem was that there just wasn't enough resources to do everything and do it all at the same time. Professor Griffith said that the original resolution before the Senate seemed to him to represent a follow-through on the Lange-Coates Report in that it conveys the Research Committee's recommendation about the key step to take if one is interested in enhancing sponsored research. By contrast, the substitute resolution offered by Professor Kirsch must be interpreted in light of Resolution 89/6, just adopted by the Senate, which proposes that the University move towards the adoption of a research strategy which would evoke individual faculty interest in research by providing appropriate incentives. Read in that light, Professor Griffith said the substitute resolution then would suggest that the most important incentive to increasing research would be the reduction of teaching loads. These were two rather different kinds of resolutions and too difficult a matter to be resolved on the Senate floor. Professor Griffith moved to recommit the original resolution together with the pending substitute amendment to the Research Committee for further consideration, to be brought back to the Senate in due course, and the motion was seconded.

Professor Garris spoke against the motion to recommit because the Committee was of the opinion that a very good case could be made in terms of the cost-effectiveness based on sponsored research, but that such a case could not be made on the basis of research in general. Discussion followed by Professors Fisher, Park, Fox, Yezer, Griffith and Garris. The question was called on the motion to recommit, and the motion was adopted by a vote of 10 to 6.

IV. RESOLUTION 89/9, "A RESOLUTION PROTESTING THE EVASION OF THE FACULTY'S ROLE IN DECISION MAKING IN THE AREA OF RESEARCH"

Professor Griffith moved to defer consideration of Resolution 89/9 to the January Senate meeting, inasmuch as Vice President French, who wished to comment upon the procedural aspects of this resolution, had to leave the meeting at this point. The motion was seconded. The question was called on the motion to defer Resolution 89/9 to the January Senate meeting, and the motion was passed.

INTRODUCTION OF RESOLUTIONS

On behalf of the Joint Committee of Faculty and Students, Professor Robbins, Co-Chair, moved to consider under Bylaw 2. (e) a resolution not on the agenda. A proposed Resolution for Renewal of Commitment against Bigotry and Intolerance was distributed to the members and the motion was seconded. The question was called, and the motion to introduce the resolution for action was approved by the required two-thirds majority.

Professor Robbins then moved the adoption of this resolution and the motion was seconded. The question was called, and the Resolution for Renewal of Commitment against Bigotry and Intolerance was adopted unanimously. (Resolution 89/10 is attached.)

GENERAL BUSINESS

I. NOMINEES FOR ELECTION TO SENATE STANDING COMMITTEES

A second exception to the agenda was approved in order to take up the following nominations of students for election to Senate Standing Committees:

Athletics Committee: Kamal Soblini and Matthew Moog;
Educational and Admissions Policy Committee: Julie Winston;
Honors and Academic Convocations Committee: John Klee and Matthew Moog; and Physical Facilities: Sue Wolitsky and John Klee.

The nominees were unanimously elected.

II. REPORT OF THE EXECUTIVE COMMITTEE

On behalf of the Executive Committee, Professor Griffith reported on the following items:

(1) After extensive discussions between Vice President French and the Chair of the Executive Committee, the following appointments to the Special Committee on Utilization of Regular, Active Status Non-Tenure Accruing Appointments were made pursuant to Resolution 89/5 as amended:

- Appointees of the Chair of the Executive Committee:

Joseph Gastwirth, Prof. of Stat. and Econ., GSAS
 William Johnson, Assoc. Prof. of Hist. and Int'l. Affairs, ESIA
 Douglas Jones, Prof. of Engineering, SEAS
 Marilyn Liebrezn-Himes, Assoc. Prof. of Business Admin., SGBA

- Appointees of the Vice President for Academic Affairs:

Robert Keimowitz, Prof. of Med. & Dean, Acad. Affairs, Med. Center
Robert Kenny, Prof. of Hist., Dean, Columbian College
Theresa Schwartz, Prof. of Law, Assoc. Dean, Acad. Affairs, Law
Brunetta, Wolfman, Prof. of Educ., Assoc. V.P., Acad. Affairs

- Jointly Appointed as Chair:

Peter Vaill, Prof. of Human Systems, SGBA

At the direction of President Trachtenberg, Vice President French's appointees were named as "observers" ex officio, rather than ex officio members.

(2) In response to a memorandum from Mr. Carr, Chairman of the Board of Trustees, announcing that the Capital Campaign had gone over the target, the Executive Committee was drafting a resolution to be placed on the agenda of the Faculty Assembly in January to acknowledge with thanks the enormous efforts that have been expended in raising these funds.

(3) The annual Senate letter inviting faculty members to volunteer for Committee service would be sent out shortly, and Chairmen of Senate Committees are asked to remind their Committee members if they wanted to remain a member of the Committee they should do so by returning the forms to the Senate office.

(4) In conversations with Vice President Bortz about progress the review of the fringe benefits, the Chair of the Executive Committee was informed that a letter regarding the medical portion of the benefits would be sent out in early January and that a letter would follow shortly thereafter outlining some proposed changes in the overall benefits package.

(5) The date of the next regular Executive Committee meeting was changed from December 15th to January 5th; any resolutions to be placed on the Senate's agenda for the January 19th meeting should be received by the Executive Committee before January 5th.

Professor Griffith closed his report by wishing everyone a happy holiday.

BRIEF STATEMENTS

Professor Deering said he wished to commend Professor Garris for returning cross-country in order to be present today for the consideration of the Research Committee's resolutions.

Professor Kirsch said he wished to make brief comments on the following four items:

(1) A report to the Senate on equality of male and female salaries should be ready by February. An ethnic review of salaries was also being carried out by Annie Wooldridge, Assistant Vice President for Faculty Personnel, Margaret Cohen, Director of Institutional Research, Professor Miriam Dow, and himself. A preliminary look at the data indicates the University was doing fairly well.

(2) Professor Block reported to the ASPP Committee that there will be potential trade-offs proposed in fringe benefits by the Benefits Committee reviewing those benefits. Professor Kirsch said he was assured by the President that whatever proposals are made by the Benefits Committee would be sent to the Executive Committee, to the Committee on Administrative Matters as They Affect the Faculty and the Committee on Appointment, Salary, and Promotion Policies for faculty input.

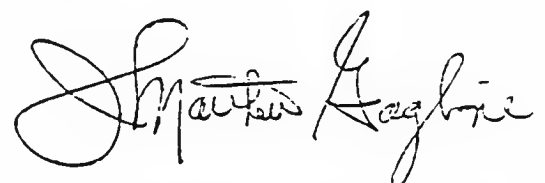
(3) The Budget Advisory Team adopted in principle the Senate resolution on faculty salaries. In its Report, the BAT recommended a 6% faculty salary increase, assuming a 6% cost-of-living index, and \$500,000 for merit raises. Professor Kirsch said it had come to his attention that we would not see a 6% figure this year nor the \$500,000 -- it was more likely to be 5% and \$400,000. Professor Kirsch said that Vice President French planned to respond to this matter, but since he had to leave the meeting early, perhaps he could respond at the January Senate meeting as this was an important item.

(4) For those faculty who weren't comfortable reading budgets, Professor Kirsch recommended reading the November/December issue of the AAUP magazine Academe. The basic subject of the whole issue was the faculty and university budgets.

President Trachtenberg, in response to Professor Kirsch's remarks regarding faculty salaries, said that when recommendations were made with regard to salaries and the cost-of-living index, recommendations were also made with regard to student scholarships. But the University dispensed more dollars than it anticipated in scholarships this year, partly to get the students the faculty wanted brought in, and partly to get more National Merit scholars, and to hold the students harmless from the rise in tuition. Therefore, he said, the extra dollars spent on scholarships were not available to be spent on salaries.

ADJOURNMENT

The President wished everyone a very Happy Holiday and New Year. Upon motion made and seconded, President Trachtenberg adjourned the meeting at 5:15 p.m.



J. Matthew Gaglione
Secretary

Introductory Remarks of C. A. Garriss to the Faculty Senate
in Relation to Resolutions 89/7, 89/8, and 89/9
December 15, 1989

Good historical perspectives of GWU are provided in the Report of the Commission on the Year 2000, and in Vice President French's cover letter to the Coates/Lange Report. Prior to the arrival of Lloyd Elliot, GWU was a humble institution whose principal activity was teaching. President Elliot was keenly aware that quality and excellence in education is intimately connected with financial strength and stability. In this vein, during the past 20 years, the University has followed a program of investment and property acquisition that produced the legendary accumulation of wealth that we are all familiar with.

Note that as the legacy of this history, the development of research at GWU has had two strikes against it:

1. Our tradition as a teaching institution has not set a high priority on the establishment of an infrastructure for research.
2. The long standing view of GWU administrators that research is a revenue generating tool rather than an integral part of education.

The Report of the Commission on the Year 2000 states: "By all standard measures, George Washington University has become a mature university. Its financial base is strong and growing; its facilities are sufficient for most current and future needs; its faculty and programs are increasing in quality. Because of these strengths, the University can develop plans to become even stronger and more prestigious. The twenty-first century, now only fifteen years away, is the University's target date for completing substantial improvements in the quality of current programs and for fully implementing new initiatives to assure that the University will participate in the discovery and advancement of new knowledge." Thus the Commission on the Year 2000 set an agenda which concentrates on leading the university towards excellence rather than further accumulation of wealth.

Towards the goal of excellence, the Commission on the Year 2000's very first recommendation was:

"The University should establish plans and policies that will enable it to develop into a research institution of the first rank."

The Commission further stated that:

"effective teaching and research are both essential to the mission of the University. Productive research and scholarship inform and

enrich teaching and are indispensable to the creative function of the University. Therefore, the increased emphasis on research proposed in these recommendations continues to link research to academic programs. As long as this relationship between research and teaching is sustained, the Commission believes that research can invigorate teaching, involving both students as well as their professors in the excitement of discovery."

There are two additional reasons why research is important to this University:

1. The American way of life has been made possible by the industrial and economic strength that has been brought about free competition. In order to maintain competitiveness, it is common knowledge that research is the key to leadership. For this reason, university research has been, and will continue to be an item of high priority for the United States. Education and preparation of the researchers of the future is an educational role upon which the future of our country depends and GWU should be a significant player in this role.
2. In 1988, sponsored research generated more than \$33 million. Remember when the loss of \$2 million from a tenant loss in one of our buildings created havoc? What if research stopped? Conclusion: sponsored research is a major source of income and the university depends on it.

Thus, if we accept the notion that our agenda for the next 10 years is "Building a University of Quality", as stated in the Report of the Commission on the Year 2000, our research agenda is instrumental. The Coates / Lange Report sets the stage for the research agenda of the present administration.

The Senate Committee on Research has held five meetings including two open hearings to explore and gauge faculty response to this document. The faculty was extremely pleased that the administration allocated new money for research. It did not go unnoticed that this was a GWU First in that never before has there been a direct budget line item for research, as absurd as this may sound. However, we found the strategic plan presented in the Coates / Lange Report extremely deficient in many respects. These deficiencies are documented in our Special Report.

However, before I proceed, I would like to give you a quick overview of the most essential features of the Coates / Lange report. (Refer to handout).

Overview of Coates /Lange Report

What is it?

- a. "Strategy for Research" (from title)
- b. "Strategic plan" (from Exec Summary)
- c. "Position paper" (French cover letter)
- d. "Program of focused research development" (French, pg3).
- e. "University research policy" (Trachtenberg, 1989 Annual Report, pg.10)

Objectives?

- a. "promotion of sponsored research" (French, pg 2)
- b. "attracting funding", "direct cost support of grad students", "strengthen the budget of the university" (French, pg 2).
- c. "strengthening research" (Coates, pg3)
- d. "goals of excellence in teaching & research" (French, pg 3)

How?

Via a three-fold strategy (Coates, pp 3-4):

- 1. Funds should be made available to strengthen existing research programs according to a plan of strategic selection.
- 2. Funding (approximately \$100,000) should be made available to support proposals for new departmental or interdisciplinary programs.
- 3. Individuals should continue to apply from support from the University Committee on Research.

The Report of the Commission on the year 2000 recommended: "The University should initiate additional steps to support faculty development in research and teaching."

At present, the obstacles to research at George Washington University are enormous. These obstacles and their remedies have been well explored and have been discussed at length in the following reports:

"Obstacles to Research", 1985

The Middlestates Self-Study Report, 1987.

The distressing thing about the Coates / Lange Report is that the three-prong approach does not even address the need to support and motivate faculty. It does not attempt to correct the substandard research infrastructure that exists at GWU. It does not provide encouragement for the majority of those that are producing research in spite of the weak infrastructure.

Not only does it not provide encouragement, it was noted in the BAT report that the program will be paid for by an increase in the indirect cost rate on sponsored research from 48% to 52%. Thus, the majority of productive researchers will be taxed to support the few targeted projects. This is very demoralizing for those who believe in the vision of the Commission on the Year 2000, and it is demoralizing for those who are trying to do research in this environment.

What is needed is a real strategic plan; i. e., an evaluation of the multiple needs of setting up a research infrastructure, and determining a hierarchy of priorities to which allocations will be made. From this basis, we can make intelligent decisions on how research should be promoted. However, two points were clear: 1. that the highest priorities should be set towards those measures which will generate incentives for research among the faculty at large; 2. the university must invest substantial funding toward supporting research if it is to flourish.

I move that we adopt Resolution 89/7.

IV. TEACHING LOADS

In the report of Professor Deering on Conflict of Interest, an "internal" conflict of interest was discussed whereby institutional faculty responsibilities conflict with each other, precluding satisfactory performance in one or the other. The way sponsored research is practiced at George Washington University is a prime example of such a conflict of interest. Research and teaching are complementary to each other only when there is sufficient time to do both. When faculty are expected to teach 6 courses / year, regardless of research activity, compromises must be made in quality of teaching, quality of research, or both. This, in turn, diminishes our competitiveness for student recruiting, and it diminishes our competitiveness for sponsorship of research. The solution to this is obvious and is recognized by virtually all research oriented universities: the teaching load must be reduced. Attached is list of typical teaching loads at sponsored research oriented universities.

(see handout)

You will note that:

- a. 2 courses / semester is standard.
- b. list did not attempt to form "market basket" since we are in direct competition with these universities for sponsored funding. GWU proposals are filed right next to those from Georgia Tech and Harvard.

This course load reduction is not a reward for doing research, it is a necessity to avoid conflict of interest and permit the magic of mutual enhancement to occur between teaching and research. Note that this deficiency in GWU's structure is common knowledge among research-active faculty and was emphasized in the "Obstacles to Research" and "Middlestates" reports as well as the report on the Commission of the Year 2000.

To spell it out, the responsibilities of all research includes:

1. Performance of research
2. Dissertation supervision
3. Graduate student recruiting
4. Publication

On top of this, sponsored research requires:

1. Proposal preparation (High rejection rate expected)
2. Marketing projects to prospective sponsors
3. Administration of program
4. Responsibility for quality
5. Reports (Quarterly, annual, final, etc.)
6. Determining interests of sponsor and redirecting personal professional interests accordingly.

The only way that faculty at GWU can remain competitive

with other universities while maintaining quality in teaching is to reduce teaching loads.

I move that we adopt RESOLUTION 89/8.

BASIC¹ TEACHING LOADS FOR RESEARCH-ACTIVE FACULTY
ENGINEERING SCHOOLS

12/8/89

Michigan State : 5 courses / 3 quarters
Johns Hopkins : First year: 2 courses / year
 Subsequent years: 3 courses / year
Washington State: 3 courses / year
U. Illinois, Chicago: 9 courses / 6 quarters
Rensselaer Polytech: 3 - 4 courses /year
M. I. T.: 2 courses / year
U. of Minnesota: 6 courses/ 3 quarters
Perdue : 4 courses / year
U. Cal at Berkeley: 3-4 courses / year
Stanford: 3 courses / 3 quarters
Yale: 4 courses / year
Drexel: 4 courses /year
Cornell: 3 courses / year
Maryland: 4 courses / year
Texas A&M: 4 courses / year
Northwestern: 4 courses / year
Brown: 2 courses / year
Oklahoma State: 3 courses/year
UCLA: 4 courses / 3 quarters

¹Does NOT include "buyout" of course release

A RESOLUTION CALLING FOR AN INCENTIVE-BASED HIERARCHY OF PRIORITIES
IN THE ALLOCATION OF RESOURCES TO RESEARCH (89/7)

- WHEREAS, Increased expenditures are essential if research is to flourish at The George Washington University; and
- WHEREAS, The administration has recognized the importance of an increased investment in research as recommended by the Budget Advisory Team Report for 1990-91; and
- WHEREAS, There is an abundance of faculty who have the potential for developing quality research programs, but whose research abilities remain dormant as a result of a multitude of disincentives; and
- WHEREAS, An opportunity exists for unleashing this dormant recourse by creating an infrastructure of incentives for research; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the administration should be applauded for its recognition of the need to allocate increased funding in support of research; and
2. That the administration, in collaboration with the faculties, should develop a hierarchy of priorities for the allocation of University resources towards strengthening research; and
3. That the fundamental principle in establishing the hierarchy of priorities is the need for incentives for the faculty-at-large.

Senate Committee on Research
November 21, 1989

Adopted, as amended, December 15, 1989

A RESOLUTION FOR RENEWAL OF COMMITMENT AGAINST BIGOTRY AND
INTOLERANCE (89/10)

WHEREAS, Many campuses across the nation are increasingly plagued by incidents of racial, religious, and cultural bigotry and intolerance; and

WHEREAS, It is in our best interests as faculty, students, and staff of this University to recognize our duty to create a community in which bigotry and intolerance will not grow or find expression; and

WHEREAS, The career of the late Reverend Doctor Martin Luther King, Jr. is exemplary of the peace and non-violence in which the struggle against bigotry and intolerance must take place; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That, on the occasion of the University's annual observance of Dr. Martin Luther King's birthday, our commitment be renewed to create and preserve an environment in which respect for human rights is fundamental, and to express abhorrence of attitudes and actions which deny such respect.

Joint Committee of Faculty and Students
December 1, 1989

Adopted December 15, 1989

THE GEORGE WASHINGTON UNIVERSITY
Washington, D. C.

The Faculty Senate

November 22, 1989

The Faculty Senate will meet on Friday, December ^{15th} 8, 1989, at
2:10 p.m. in Lisner Hall 603.

AGENDA

1. Call to order
2. Approval of the minutes of the regular meeting of November 10, 1989
3. Resolutions:
 - (a) A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICT OF INTEREST (89/6) with accompanying Policy Statement; Professor Christopher J. Deering, Chair, Professional Ethics and Academic Freedom Committee (NOTE: The Executive Committee will recommend **discussion only** at this meeting with final action to be postponed to the January 19, 1990, Senate meeting) (Resolution 89/6 with Policy Statement are attached)
 - (b) A RESOLUTION CALLING FOR AN INCENTIVE-BASED HIERARCHY OF PRIORITIES IN THE ALLOCATION OF RESOURCES TO RESEARCH (89/7)*; Professor Charles A. Garris, Chair, Research Committee (Resolution 89/7 is attached)
 - (c) A RESOLUTION IN SUPPORT OF THE NEED FOR TEACHING LOAD REDUCTIONS TO ENSURE THE GROWTH OF SPONSORED RESEARCH AT THE GEORGE WASHINGTON UNIVERSITY (89/8)*; Professor Charles A. Garris, Chair, Research Committee (Resolution 89/8 is attached)
 - (d) A RESOLUTION PROTESTING THE EVASION OF THE FACULTY'S ROLE IN DECISION-MAKING IN THE AREA OF RESEARCH (89/9)*; Professor Charles A. Garris, Chair, Research Committee (Resolution 89/9 is attached)
- *NOTE: Resolution 89/7, 89/8, and 89/9 above pertain to the Report of the Senate Committee on Research concerning "Strategies for Research: Toward Growth and Competitiveness" by A. Coates and C. Lange (Report of the Senate Committee on Research is attached)
4. Introduction of resolutions

(continued)

(Faculty Senate Agenda cont'd)

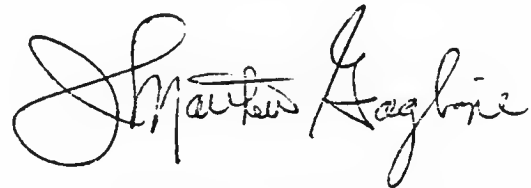
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5. General Business:

(a) Report of the Executive Committee: Professor William B. Griffith, Chair

6. Brief Statements

7. Adjournment

A handwritten signature in cursive script, reading "J. Matthew Gaglione". The signature is written in dark ink and is positioned above the printed name and title.

J. Matthew Gaglione
Secretary

A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICT OF INTEREST (89/ 6)

- WHEREAS, it is in the best interest of The George Washington University to have a policy on conflict of interest; and
- WHEREAS, there is, at present, no explicit statement regarding conflict of interest in the Faculty Handbook; and
- WHEREAS, potential problems of conflict of interest are arising with increasing frequency at universities; and
- WHEREAS, it is desirable for both the faculty and the university to avoid, whenever possible, such problems before they occur; NOW, THEREFORE,

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- I. That the Senate endorses the attached policy statement on conflict of interest; and
- II. That the Senate further recommends that, upon adoption by the University, language reflecting this policy be printed in the Faculty Handbook or that this policy be printed as a separate Conflict of Interest pamphlet for periodic distribution to the faculty; and
- III. That the President direct each school, college, or comparable educational division to establish and report to the Vice President for Academic Affairs, within one year's time, procedures for implementing this policy in a manner appropriate to each of those units.

Professional Ethics and Academic Freedom Committee
November 13, 1989

A POLICY ON CONFLICT OF INTEREST

Conflicts of interest are a universal fact of life; they occur when the fulfillment of an obligation, commitment, or responsibility makes it difficult or impossible to fulfill other obligations, commitments, or responsibilities. They obviously may differ in extent or degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable.

A cornerstone for understanding must include the principle that "...faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University" [FC III F]. At the same time and of no less importance is a faculty member's responsibility to further his/her own professional development and the goals of his/her professional discipline. Under normal circumstances a faculty member's participation in the activities of governmental, industrial, and professional institutions is consistent with the academic interests of the University as well as those of the faculty member.

The activities of the faculty shall be conducted in a manner that avoids conflicts of interest. There are at least four types of conflicts of interest that may require review; these occur when:

- 1) the University is deprived of the appropriate (compensated) time and effort of the faculty member due to external commitments;
- 2) substantial use is made of human and material resources of the University for non-University purposes;
- 3) the faculty member's extra-university activities affect his/her objectivity in carrying out academic responsibilities, or compromise basic scholarly activity or freedom of action; and
- 4) the University is deprived of its appropriate potential financial gain.

Examples of the various types of conflicts of interest noted above include the following:

1. Conflicts of interest that may arise from time/effort considerations:
 - a) exceeding the equivalent of the "one day a week" rule allowed by the Faculty Handbook;
 - b) accepting obligations that regularly conflict with scheduled classes or other academic responsibilities.
2. Conflicts of interest that may involve misallocation of University resources:
 - a) using University equipment, supplies, personnel, and other

- facilities and resources for activities that yield financial benefit to the faculty member and not the University;
- b) when outside financial incentives distort scholarly activity or the shaping of academic goals.
3. Conflicts of interest that may impair objectivity:
- a) receiving support from an institution in which the faculty member or a close friend or relative has a substantial financial interest;
 - b) hiring of a family member or of a student enrolled in his/her course;
 - c) entering into an agreement that precludes normal scholarly publication or public discussion;
 - d) when a faculty member has a relationship (as, e.g., consultant, advisor, owner, or shareholder) to an outside organization that is conducting business with the University.
4. Conflicts of interest that may arise from the University's loss of appropriate financial benefits:
- a) when a faculty member seeks to obtain research support in a manner that substantially undermines the responsibilities of the Office of Sponsored Research;
 - b) whenever an outside commitment provides to an individual or organization other than the university for intellectual or tangible property rights in the way of patent ownership or licensing that ought to accrue to the University.

Although the examples given above describe conflicts a faculty member may voluntarily face, consideration needs to be given to conflicts that may arise from pressures of the University. Two examples are:

- a) A faculty member who has summer research support may be asked to devote substantial time to non-research activities (e.g. curriculum revision) and still be expected to sign a declaration (e.g., a government form) that 100% of his/her time was spent on the research project.
- b) In its effort to increase the financial well being of the institution, the University may encourage the pursuit of activities that will generate income from contracts at the expense of freely chosen disinterested research and scholarship.

Because these boundaries are fated to be somewhat arbitrary and vague, it seems prudent to establish an approach that has two essential elements:

(1) utilizing normal channels, faculty are encouraged to report and to seek guidance concerning significant potential conflicts of interest in order to ensure that the interests of the faculty member, his/her profession, and the University are best served; and

(2) recognizing that each school, college, or other unit has shared and unshared areas where conflicts may occur, each unit should devise an appropriate mechanism to review and to resolve any lack of agreement arising from the disclosure of potential or actual conflicts of interest.

Professional Ethics and Academic Freedom Committee
November 13, 1989

A RESOLUTION CALLING FOR AN INCENTIVE-BASED HIERARCHY OF PRIORITIES
IN THE ALLOCATION OF RESOURCES TO RESEARCH (89/7)

- WHEREAS, Increased expenditures are essential if research is to flourish at The George Washington University; and
- WHEREAS, The administration has recognized the importance of an increased investment in research as recommended by the Budget Advisory Team Report for 1990-91; and
- WHEREAS, There is an abundance of faculty who have the potential for developing quality research programs, but whose research abilities remain dormant as a result of a multitude of disincentives; and
- WHEREAS, An opportunity exists for unleashing this dormant resource by creating an infrastructure of incentives for research; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the administration should be applauded for its recognition of the need to allocate increased funding in support of research; and
2. That the administration should develop a hierarchy of priorities for the allocation of University resources towards strengthening research; and
3. That the fundamental principle in establishing the hierarchy of priorities is the need for incentives for the faculty-at-large.

Senate Committee on Research
November 21, 1989

A RESOLUTION IN SUPPORT OF THE NEED FOR TEACHING LOAD REDUCTIONS
TO ENSURE THE GROWTH OF SPONSORED RESEARCH AT THE GEORGE WASHINGTON
UNIVERSITY (89/8)

WHEREAS, The United States Government considers the education and training of skilled researchers essential for the future of the country and therefore dedicates billions of dollars in support of university research; and

WHEREAS, In the Report of the Commission on the Year 2000, the Report for the Middlestates Association, the Budget Advisory Team Report for 1990-91, as well as statements by President Trachtenberg and other administrators, recommendations have been made for The George Washington University to increase its participation in sponsored research; and

WHEREAS, In the year 1988, sponsored research programs generated more than \$33 million for the University and provided support for many graduate students, enabled the permanent acquisition of laboratory equipment and computational facilities, supported the library, increased the stature of the University, and provided many other benefits; and

WHEREAS, The faculty of the University has the scholarly potential to increase this effort substantially if existing obstacles were removed and the proper incentives were in place; and

WHEREAS, Faculty participation in sponsored research requires large investments of time and effort in proposal preparation, student recruiting, report writing, graduate student supervision, and financial management, in addition to performing research; and

WHEREAS, Virtually all fine research institutions recognize that the greatest deterrent to excellent teaching and research is an excessive faculty workload and therefore reduce teaching loads to enable faculty to dedicate the time needed for excellence in both activities; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the number one priority in advancing the goal of increasing sponsored research while maintaining excellence in teaching is the reduction of teaching loads for those faculty pursuing sponsored research; and
2. That the Office of the Vice President for Academic Affairs should establish a plan, in consultation with the Senate Committee on Research, leading to this goal in the shortest possible time.

The Senate Committee on Research
October 30, 1989

A RESOLUTION PROTESTING THE EVASION OF THE FACULTY'S ROLE IN
DECISION-MAKING IN THE AREA OF RESEARCH (89/9)

WHEREAS, The regular active-status faculty shares with the officers of the administration the responsibility for effective operation of the departments, schools, and the University as a whole; and

WHEREAS, The regular active-status faculty also participates in the formulation of policy and planning decisions affecting the quality of education and life at the University; and

WHEREAS, In accordance with Article IX of the Faculty Code, the Senate Committee on Research is entitled, to the extent feasible, to be informed sufficiently in advance of important decisions which have impact on research so as to be able to provide its advice and recommendations; and

WHEREAS, The recommendations of policy in the Report "Strategies for Research: Toward Growth and Competitiveness" by A. Coates and C. Lange were adopted without any consultation with the Senate Committee on Research; and

WHEREAS, The administration embarked on negotiations with the federal government to increase the indirect cost rate on sponsored research projects from 48% to 52%, an action that has strong repercussions on the ability of faculty to perform and to obtain sponsored research, without consultation with the Senate Committee on Research; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the administration's disregard for the necessity of consultation with appropriate Senate standing committees in the formation of University policy is protested; and
2. That the Senate Committee on Research should be consulted at an early stage on all policy matters important to research and should be given the opportunity to provide recommendations and advice.

The Senate Committee on Research
October 30, 1989

SPECIAL REPORT
OF
THE SENATE COMMITTEE ON RESEARCH

CONCERNING

"Strategies for Research: Toward Growth and Competitiveness"

by A. Coates and C. Lange

November 21, 1989

SUMMARY

The administration of George Washington University has recognized the benefits to the university of strengthening research activity. The Coates / Lange Report is a position paper which presents the administration's plans for laying the foundation for this objective in the coming years. It presents a three prong approach toward strengthening research: (1) The centerpiece of this plan is the concept of strategic targeting by the administration of the bulk of research support allocations towards a small number of excellent research programs; (2) A sum of \$100,000 is recommended to be set aside for new departmental programs and interdisciplinary programs; (3) Support for individual faculty should continue through the University Committee on Research.

The Senate Committee on Research was charged with providing advice and recommendations to the Senate on the policy as well as the process by which the policy was formulated. The committee met five times, including two open hearings, to deliberate on the matter.

An important conclusion of the committee is that there exists a great resource within the university that is presently largely dormant: the research potential of the faculty. However, there exists a multitude of disincentives which rob many faculty of their motivation to do research. An opportunity exists to tap this resource, but the key is an incentive-based research policy which motivates the faculty at large. The three-prong approach of the Coates/Lange report provides no such incentives, and, contrary to what is needed, actually has a demoralizing effect on many faculty.

A policy based on incentives must emanate from the hopes and aspirations of the faculty, and, therefore, must have substantial faculty involvement in its formulation. The policy of the Coates / Lange report had minimal faculty involvement in its formulation. The Senate Committee on Research was presented with the policy after it was approved by the President and budget allocations were made. Besides being in violation of the Faculty Code, such a process is not in the best interests of the University toward the growth of research.

This report describes in detail the findings of the committee, including major incentives and disincentives, and formulates eight conclusions and recommendations on the many aspects of research that were explored during the meetings and open hearings. As an outgrowth of these, three resolutions will be presented to the Faculty Senate for their consideration.

I. BACKGROUND

The Coates / Lange report was commissioned by Vice President for Academic Affairs R. French as a position paper in response to the stated clear indication of priority interest expressed by President Trachtenberg¹ to strengthen, significantly, the administration and promotion of sponsored research. The thesis of the report is that there exists an exceptional opportunity to create major research programs in selected disciplines and/or interdisciplinary fields and that substantial institutional financial resources should be committed toward these programs. Eight specific projects were targeted for increased support. In addition to the central thesis of the report, six institutional changes were proposed:

1. Establishing an Advisory Committee on Research.
2. Maintaining a reserve for providing matching funds for research equipment applications to outside sponsors.
3. Consideration of models for integrating faculty consulting into the educational activities of the university.
4. Soliciting funding for research from alumni and other organizations in coordination with the Development Office specifically for selected research programs.
5. Evolve procedures for hiring new faculty considering their ability to obtain sponsored research.
6. Review of administrative procedures with an eye towards reducing duplication of functions and promoting maximum efficiency and responsiveness.

When the report was transmitted to the Senate Executive and Research Committees on June 22, 1989 with Dr. French's cover letter (Att. 1), the committees were informed simultaneously that the President had already endorsed the report, that the Budget Advisory Team recommended funding for the program, and that measures were underway for its implementation. As faculty participation in the development of this policy appeared marginal, the Senate Research Committee was then charged by the Executive Committee to hold open hearings to gauge faculty sentiment towards the process employed and the policy that emerged from the report.

The Senate Research Committee held open hearings on September 19 and October 17, 1989. Attendance was good at both meetings with over 18 faculty attending the first and more that 26 attending the

¹See Attachment 1.

second. Vice President Coates and Deans East, Kenny, Jackson, and Liebowitz participated as well as several department chairs. Several faculty who were members of the research groups targeted for increased support were also present. Several faculty members who were unable to attend provided written comments which were distributed at the beginning of the meeting.

II. FINDINGS OF FACT

1. Faculty consultation was minimal. The Senate Research Committee was not consulted, nor were department chairmen in any systematic way. While the policy of targeted funding was discussed by the Council of Deans and underwent a vote and was affirmed, not all deans supported the policy.

2. The total income in 1988 from sponsored research was about \$33 million. None of this money was earmarked for supporting the sponsored research effort that generated the funds.

3. Indirect cost rate for sponsored research projects, presently 48% of direct costs, will be increased to 52%. In effect, the proposed program will be paid for by extracting part of the new funds generated by the increase. This view was supported by the Report of The Budget Advisory Team to the President, Ref. 1.

4. The targeted support program presented is a milestone in the sense that it represents the first time that George Washington University has a budgeted line item for the support of sponsored research.

5. A considerable amount of evidence was presented, consistent with Refs. 2 & 3, to indicate that the support² of faculty engaged in sponsored research at George Washington University is universally substandard in comparison with most other universities who are competing for the same sponsored funding. This substandard support has made funding more elusive, it has reduced morale among faculty active in sponsored research, it has destroyed incentives for many faculty who would otherwise be capable and enthusiastic about seeking sponsored research, and it has had a negative impact on retaining excellent research active faculty and hiring new faculty.

²The type of support for faculty engaged in sponsored research that is typical at universities competing for the same funding that our faculty is includes teaching loads not exceeding 12 credit hours / year; tuition remission for graduate research assistants, equipment and stipend matching funds; services such as machine shops, glass blowing, photography, drafting, supply rooms; legal protection; travel funds; etc.

III. TARGETING FUNDING POLICY

The general mood of the faculty was not enthusiastic, particularly among those faculty who are presently involved in sponsored research. The reasons for this lack of enthusiasm are many.

a. There is an enormous amount of pent-up dissatisfaction among the faculty active in sponsored research. The root of this dissatisfaction is that they perceive the university as regarding the fruits of their efforts as a revenue-generating "enterprise", rather than an essential educational activity worthy of nurturing and investment. With reference to Finding 2 above, they perceive the university as misappropriating funds that were given with the intent of supporting research. It appears not to be appreciated by the administration that successful participation in sponsored research requires a quantum jump in the level of effort of a faculty member, and help is very much needed. Targeted funding does not alleviate this need for the majority.

b. Not only does the targeted funding policy not help the majority, but it appears that the majority will be taxed to pay for this via the rising indirect cost rate, discussed in Finding 3³.

c. Several faculty spoke in favor of the need to generate incentives at the "grass-roots" level if sponsored research is to flourish. If strong incentives are in place, research will prosper. Examples were provided of other universities benefiting from this approach such as U.Mass at Amherst, Drexel, Va Polytech, and others. The targeted funding policy does nothing to generate such incentives.

d. Several faculty spoke about the unpredictability of the leading research groups of tomorrow. Examples were presented of how the Economics Department of M. I. T. and certain programs of the Naval Research Laboratory achieved international preeminence under conditions that could not have been predicted. If money had been diverted only to the most "promising" programs, these activities might never have developed.

e. Targeted support lacks flexibility. Funds allotted to the targeted groups are locked in for a minimum of three years, thus precluding other options, given limited funds.

f. The overall benefit of targeted funding to the university was questioned. Clearly the targeted groups will benefit and might be expected to show an increased number of journal publications and

³The decision to raise indirect cost rate was made without consultation with the Senate Committee on Research even though it has significant impact on research productivity.

an increased level of outside funding. However, there was skepticism about the existence of and / or benefits to be derived from the "halo" effect from the targeted groups.

g. Some faculty supported the idea of targeted projects when greater institutional support is needed to launch certain research activities. It was noted, however, that the eight groups targeted in the Coates/Lange Report are for the most part established and are not in this category.

h. There was substantial objection taken to the criteria for selecting the targeted groups. The groups were chosen from eighteen-month-old planning documents provided by the deans for other purposes. The deans were never asked to provide candidates in response to a call for projects under this program. The faculty was never given the opportunity to present proposals or compete for the funding and no faculty groups were consulted. Nobody questioned that the groups selected were worthy candidates. However, despite present conditions, there are many fine sponsored research programs at GWU of equal stature that were not considered. Objections were also made that there was no clear connection between the selected projects and teaching activities, need for the funding, potential pay-off in terms of future grants or some other reward, and other possible criteria. There was a feeling that criteria should have been established in consultation with faculty groups before anyone was targeted for increased funding.

IV. INSTITUTIONAL CHANGES

There was very strong support expressed for the need for increased use of indirect costs for supporting sponsored research and, specifically, for providing increased faculty incentives. Furthermore, there was a unanimous expression of support for increasing the commitment of university financial resources towards sponsored research, taken by vote at the first meeting. There was universal agreement that support for nonsponsored research should be continued through the University Facilitating Fund.

1. Establishment of an Advisory Committee on Research

There was general agreement that an advisory committee on research was important. Several faculty questioned why this function cannot be assumed by the University Committee on Research or the Senate Committee on Research. There was support for the idea that the Senate Committee on Research should have the charge of appointing at least half of the committee to insure faculty involvement in making research policy.

2. Matching Funds for Equipment Purchase

Very strong support.

3. Integrated Consulting

There was no appreciable discussion. This should be carefully studied by faculty groups when specific proposals are presented.

4. Coordinated Efforts between OSR & Development

There was universal agreement that this would benefit research.

5. Faculty selection procedures based on research development.

There was little discussion. However, such procedures are inappropriate unless adequate support for research exists.

6. Streamlining Research Administration

There was strong support.

V. CONCLUSIONS & RECOMMENDATIONS

1. There is strong faculty support for the increased allocations of financial resources towards research. Increased expenditures are essential if research is to flourish at George Washington University.
2. An exceptional opportunity does exist at George Washington University to substantially increase the level of faculty participation in sponsored research. However, in order to unleash this resource, incentives are needed, and disincentives must be eliminated.
3. The Senate Committee on Research was never consulted in the process of developing the policy outlined in the report "Strategies for Research". Therefore, the right of the faculty to participate in academic decision-making through its senate committee structure was disregarded, in violation of the Faculty Code. Such practices should be avoided in the future.
4. Among the faculty participating in sponsored research or those who would like to, there exists a high degree of dissatisfaction. The primary cause of this dissatisfaction is the overwhelming difficulty of providing excellent teaching

in three courses while performing the laborious duties required to maintain a sponsored research program. The second major cause of dissatisfaction is the lack of incentives and recognition accorded by the university to those who do. The highest priority in dedicating university resources towards enhancing sponsored research should be to reduce the teaching responsibilities of faculty active in sponsored research to the level common at other institutions with distinguished research programs.

5. The administration should develop a hierarchy of priorities for the allocation of university resources towards strengthening research. The fundamental principle in establishing the hierarchy of priorities is the need for incentives for the faculty at large.
- 5a. Targeted funding may be appropriate in developing certain areas of research, but should not be the centerpiece for research policy.
6. The criteria employed in selecting the targeted projects was never clearly understood by the faculty. Before any future allotments are made, clear criteria must be identified and presented to the faculty for their recommendations and advice.
7. In view of the existing university committee structure, the need for yet another committee, i.e., Research Advisory Committee, is not clear. However, should the administration choose to form such a committee, a majority of faculty participation is recommended with appointments made by the faculty senate. Furthermore, such an administrative committee would not abrogate the administration's responsibility to consult with the Senate Committee on Research and other appropriate senate committees on matters affecting the faculty.
8. There is a great need within the university for a comprehensive plan for creating a structure of support and incentives for participation in research and for prioritizing the use of university resources for research toward this end. An appropriate committee should be charged with formulating such a plan.

VI. REFERENCES

1. Chernak, R. A.: "The George Washington University Budget Advisory Team Report to the President", Fiscal Year 1990-91.
2. Coates, A: "A Private University with a Public Mandate: A Self Study Report for the Middlestates Association of Colleges and Schools", The George Washington University, 1987.
3. Solomon, H: "Obstacles to Research", University Committee on Research Report, 1985.

The Senate Committee on Research

Charles A. Garriss, CMEE, Chairman
 William C. Adams, Public Administration
 Jeffery C. Anderson, Art
 Frank E. Baginski, Mathematics
 Linda J. Brandt, Psychology
 Ernest J. Englander, Business Administration
 Bruce M. Kramer, Mechanical Engineering
 Donald C. Linkowski, Human Services
 Murray H. Loew, Electrical Engineering
 Terrence Phillips, Medicine
 Marcelo Sztein, Medicine

ex officio:

Roderick S. French, Vice President for Academic Affairs
 Anthony G. Coates, Associate Vice President for Academic
 Affairs and Research
 Henry Solomon, Dean of the Graduate School of Arts and
 Sciences

THE GEORGE WASHINGTON UNIVERSITY
INTERDEPARTMENTAL MEMORANDUM

June 22, 1989

TO: William B. Griffith, Chair
Faculty Senate Executive Committee

Charles Garris, Chair
Faculty Senate Committee on Research

FROM: Roderick S. French
Vice President for Academic Affairs

RE: "Strategies for Research: Toward Growth and Competitiveness"

I am pleased to forward to you and through you to the members of your respective committees copies of "Strategies for Research: Toward Growth and Competitiveness."

As you well know, the formation of great research universities was one of the major achievements of American higher education in the first half of the twentieth century. For all of their recent difficulties in terms of funding and deteriorating infrastructures, they remain the envy of the world.

Although the George Washington University has been classified by the Carnegie Commission as a Research University II since 1973, our most distinguished graduate programs for the most part have been in professional education and fields of applied research. Our curricula and our research have been designed to serve the educational needs of the federal city. The overwhelming majority of our doctoral students have pursued their degrees on a part-time basis. Perhaps the most vital academic development on this campus over the last thirty years has been the emergence of a wide range of innovative master's curricula tailored to the interdisciplinary educational requirements of the so-called new professions. All of these activities constitute a splendid achievement and one in which we should take due pride, but they are not for the most part research oriented in the usual sense.

Nonetheless, over the last decade, there has been a growing consensus among many faculty and administrators, that GW--without diminishing its commitment to our traditional mission described above--can proceed to identify selected fields for greater institutional support to enable them to move into the first tier of university research programs. This consensus has been trying to find its voice through a series of documents that has included the Year 2000 Report and more recently one chapter in our Middle States self-study.

Those who support this strategy are persuaded that there will be multiple benefits to the University from such a targeted investment. It is self-evident that the morale and self-respect of all research-oriented faculty will be improved by the sign of serious institutional commitment to

Griffith-Garris "Strategies for Research"

June 22, 1989

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this enterprise. Many believe that the reputation of all of our academic programs will be enhanced by a halo effect from nationally recognized research achievements. If true, that cannot fail to be an asset even in undergraduate recruitment. In terms of faculty recruitment, certainly promising younger faculty would be reinforced in their decision to accept appointments with us. We also would become more competitive in the recruitment of outstanding graduate students to work with faculty in these priority fields. The budget of the University would be strengthened by increases in both direct cost and indirect cost funding.

In some of my first conversations with Stephen Trachtenberg, in the spring of 1988 before he had actually assumed the presidency here, it became clear that he wished to strengthen, significantly, the administration and promotion of sponsored research. On the basis of that clear indication of priority interest, I asked Dr. Carl Lange and Dr. Tony Coates to prepare a position paper for his consideration. This report went through an extended period of preparation which I would like to summarize for you.

Drs. Lange and Coates began with an examination of the previous cycle of University planning documents in which certain areas of research strength had been identified by the Deans. They proceeded to convene groups of principal investigators associated with those fields as well as to consult with individual researchers in many disciplines. The objective in this process was to identify a selected number of fields which were positioned to move forward with enhanced support over a specific time period.

This process was taking place at the same time that the new Presidential Budget Advisory Team was at work on a statement of assumptions and recommendations regarding the 1990-91 University budget. In the discussions of the BAT, I consistently argued for the necessity of choosing to choose, i.e., selectively identifying those academic areas in which we are going to strive in the near future for conspicuous excellence at GW whether in teaching or research.

The report on "Strategies for Research" in the form that I am transmitting to you (dated May 4, 1989) has gone through several versions. It appeared twice on the agenda of the Council of Deans and was finally modified in response to changes requested by President Trachtenberg as a condition for his approval.

One word of caution. It is always risky to put in circulation a planning document that contains specific dollar figures. Please remember that these numbers were developed for planning purposes only. Although the administration is committed to the general implementation of this report, actual resource allocations will depend on many factors and undoubtedly will be different from the figures given.

Let me illustrate this dynamic in terms of developments in just the last few weeks. After reviewing all of the strong claims on future resources, the BAT decided to recommend an allocation of \$500,000 in support of this strategic enhancement of research in 1991. Although that was less than the figure proposed in this report, the BAT also recommended that the \$50,000 for equipment matching grants which President Trachtenberg has authorized as a new line in the 1989-90 budget be tripled to \$150,000 in 1990-91. Moreover, in light of a signal from the President that there will be supplemental funds on the academic side next year, I already have authorized Dean Solomon to proceed with the recruitment of a senior geneticist. At the same time, the Department of Statistics has been successful in hiring a distinguished biostatistician as called for in this report. Finally, a corporate foundation has made a gift of some \$60,000 to support graduate students and post-doctoral fellows in the Institute for Reliability and Risk Analysis. All of this is by way of saying that this program of focused research development is well under way, but the precise shape of that development will inevitably vary in some details from the plan as outlined.

I should point out one particularly innovative feature in this document. In addition to the eight well-established fields identified for enhanced support, there is a proposal to explore the formation of a unit in SGBA that would be analogous to the practice plan used in the medical faculty. The concept is of a scheme that would encourage the formation of a center for the study of international financial markets that would bring through the University much of the bona fide research and consulting currently conducted off-campus by that faculty. It will be very interesting to see whether such a concept can be translated into practice.

I would like to close with two observations derived from the experience of developing this policy statement.

(1) No one with whom I have talked whether individually or in groups, whether faculty or deans or other administrators, has quarreled with the proposition that we must go forward selectively, if we are to realize our goals of excellence in teaching and research. The only complaint has been that the list of initially targeted programs was not longer. That, by the nature of the case, is not possible. However, the major modification in the original version of this policy made at President Trachtenberg's request is that approximately \$100,000 will be set aside each year for potential support of other research fields that show promise of developing to the point that they would qualify for inclusion on the priority list for enhanced funding in the next three-year cycle of development.

(2) No one has challenged the eligibility or qualifications of those fields that have been included in the priority list for the first three-year cycle of support. I think this is a good reminder of the importance in general that as we proceed with the strategy of selected, phased emphases in academic program development we must make our decisions openly and on the

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June 22, 1989
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basis of clearly stated criteria after consultation with as many colleagues as is feasible.

I trust that on reading this report you and your associates will share my sense of gratitude on several counts. I am grateful to Carl Lange and Tony Coates for giving coherence and focus to the campus-wide longing for advancement of our research enterprise, to the Budget Advisory Team for recommending a high level of financial support for research development, and to President Trachtenberg for his endorsement of this strategy. The net result is a truly unprecedented level of systematic incentives for research at GW which goes hand-in-hand with the President's emphasis on excellence in teaching.

When the fall semester opens, then Associate Vice President Coates and I will take steps to establish the Advisory Committee for Research called for by this report. I am certain that at that point there will be many interesting points for discussion between the Faculty Senate Committee on Research and this new Advisory Committee that will be set up to oversee the implementation of this new strategy and to promote research generally.

RSF:eic

cc: President Trachtenberg
Vice President Lange
Assistant Vice President Coates
Council of Deans